

03-05-02

PTO/SB/05 (2/98)

Approved for use through 09/30/2000 OMB 0651-0032

Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

03/04/02

Please type a plus sign (+) inside this box → ☐UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37C.F.R. §1.53(b))

Attorney Docket No.

PC9942C

First Named Inventor or Application Identifier

Chiu et al.

Title

A PROCESS FOR PREPARING NAPHTHYRIDONES AND
INTERMEDIATES

Express Mail Label No.

EL 874868170 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ *Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 15]
(preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference in Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☐ Drawing(s) (35 U.S.C. 11.3) [Total sheets]
4. ☒ Oath or Declaration [Total pages 2]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR §1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
- i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 C.F.R. §3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ *Small Entity ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other: Priority Claim

*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No: 09/718,324

Prior application information: Examiner B. Robinson Group/Art Unit: 1625

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

Name	Paul H. Ginsburg				
Address	Pfizer Inc				
Address	235 East 42nd Street, 20th Floor				
City	New York	State	New York	Zip Code	10017-5755
Country	United States Of America	Telephone	(212)573-2369	Fax	(212)573-1939

NAME (Print/type)	Adrian G. Looney	Registration No. (Attorney/Agent)	41,406
Signature	<i>Adrian G. Looney</i>	Date	March 4, 2002

PRESS MAIL NO. EL874868170US

UTILITY TRANSMITTAL PTO SB 05, 3/99, (1/1)

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.
These are the fees effective October 1, 2001.

Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

Total Amount of Payment (\$) 740.00

Complete if Known

Application Number	Divisional of 09/718,324
Filing Date	Herewith
First Named Inventor	Chiu, et al.
Examiner Name	B. Robinson
Group/Art Unit	1625
Attorney Docket No.	PC9942C

METHOD OF PAYMENT (check one)

1. ☒ The commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- Deposit Account Number 16-1445
- Deposit Account Name
- ☒ Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17. ☐ Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance

2. ☐ Payment Enclosed:
- ☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1) (\$)					740

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
4	-20**= 0	X 18 =	0
Independent Claims 2	- 3**= 0	X 78 =	0
Multiple Dependent		=	0

** or number previously paid, if greater; For Reissues, see below

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	42		Independent claims in excess of 3
104	280	202	140	Multiple dependent claim, if not paid
109	84	204	42	**Reissue independent claims over original patent
110	18	209	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)				(\$) 740.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late fee or oath	
127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
Other Fee (specify)					
Other Fee (specify)					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$)					

SUBMITTED BY

Type or Printed Name	Adrian G. Looney	Date	March 4, 2002	Complete (if Applicable)
Signature	<i>Adrian G. Looney</i>	Reg. Number	41,406	
		Deposit Account	16-1445	
		User ID		

EXPRESS MAIL NO.: EL874868170US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: **CHIU ET AL.** :

APPLICATION NO.: : Examiner: Not Yet Assigned
DIVISIONAL APPLICATION OF
09/718,324

FILING DATE: **HEREWITH** : Group Art Unit:
Not Yet Assigned

TITLE: **A PROCESS FOR PREPARING** :
NAPHTHYRIDONES AND
INTERMEDIATES

Commissioner for Patents
Washington, D.C. 20231

Sir:

SUBMISSION OF DECLARATION FOR UTILITY


The enclosed Declaration is for the divisional application filed herewith, Ser. No. XX/YYYY,YYY, under 35 U.S.C. §1.53(b) of Ser. No. 09/236,737, filed January 25, 1999 ("the grand parent application"). The Declaration is a copy of the Declaration submitted for the grand parent application.

Pusuant to the suggestion in M.P.E.P. §201.06(c) applicants have attached an adhesive label to the copy of the Declaration indicating that this Declaration is for the divisional application of Ser. No. 09/236,737, filed January 25, 1999.

Applicants do not believe any fees are due in connection with the submission of this Declaration. However, if any fees are due, applicants' attorney authorizes the payment of such fees from Deposit Account No. 16-1445. Applicants' attorney can be reached at the number listed below.

Respectfully submitted,

Date: March 4, 2002


Adrian G. Looney
Attorney for Applicants
Reg. No. 41,406

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